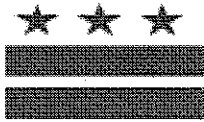


# Government of the District of Columbia

## Department of Insurance, Securities and Banking



Lawrence H. Mirel  
Commissioner

### BULLETIN

04-SB-008/12-02

**TO: Securities Industry**

**FROM: COMMISSIONER LAWRENCE H. MIREL**

**SUBJECT: UPDATED NOTICE REGARDING REVISIONS TO THE SECURITIES BUREAU FILING PROCEDURES—NEW LOCKBOX FILING ADDRESSES**  
**(Slight Changes to Bulletin 03-SB-004/3-21)**

Effective immediately, the District of Columbia Department of Insurance, Securities and Banking (DISB), Securities Bureau requires that *all filings and correspondence submitted with checks*\* for securities professionals' licenses, securities registrations, exemptions and notice filing fees be mailed directly to the DISB Securities Bureau's lockbox. The type of mail delivery service used will determine the appropriate lockbox address to use. There are two separate lockbox addresses: (1) a street address for filings submitted via overnight couriers such as the **U.S. Postal Service Express Mail** and other private courier services such as **FedEx, UPS, DHL and Airborne Express** and (2) a post office box address for filings submitted via **regular U.S. Mail** service. The two new lockbox addresses are as follows:

1. Filings submitted via **U. S. Postal Service Express Mail** overnight courier or private courier services such as **DHL, UPS, FedEx and Airborne Express** should be submitted to:

D. C. Department of Insurance, Securities and Banking-Securities Bureau  
Attn: Ms. Loretta T. Oliver, Assistant Vice President-Bank of America  
Wholesale Lockbox # 92660, Mail Code: MD43011804  
225 North Calvert Street, 18<sup>th</sup> Floor  
Baltimore, MD 21202

\* Checks should be made payable to the D.C. Treasurer

2. Filings submitted via **regular U. S. mail service** should be submitted to:

D. C. Department of Insurance, Securities and Banking  
Securities Bureau  
P. O. Box 92660  
Washington, D C. 20090

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Please note, filings and correspondence submitted **without checks** should be sent directly to the DISB Securities Bureau's address listed below:

D. C. Department of Insurance, Securities and Banking  
810 First Street, N. E., Suite 610  
Washington, D C 20002

For additional information, please visit our website at [www.disb.dc.gov](http://www.disb.dc.gov) or contact Larry Coates, Assistant Director, Division of Corporation Finance at (202) 442-4926